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UNITED STATES PATENT AND TRADEMARK OFFICE

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In Re Application of:

R. Abburi, et al.

Serial No.: 09/892,318

Group Art Unit: 2131

Filing Date: June 27, 2001

Examiner: Not Yet Assigned

For: **ENFORCEMENT ARCHITECTURE AND METHOD FOR DIGITAL  
RIGHTS MANAGEMENT SYSTEM FOR ROAMING A LICENSE TO A  
PLURALITY OF USER DEVICES**

DATE OF DEPOSIT: Sept. 14, 2001  
I HEREBY CERTIFY THAT THIS PAPER IS BEING  
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Susan C. Murphy  
TYPED NAME: Susan C. Murphy  
REGISTRATION NO.: 46,221

Assistant Commissioner for Patents  
Washington DC 20231

Dear Sir:

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to 37 C.F.R. §1.56 and in accordance with 37 C.F.R. §§1.97-1.98, information relating to the above-identified application is hereby disclosed. Inclusion of information in this statement is not to be construed as an admission that this information is material as that term is defined in 37 C.F.R. §1.56(b).

- ☒ In accordance with §1.97(b), since this Information Disclosure Statement is being filed either within three months of the filing date of the above-identified application, within three months of the date of entry into the national stage of the above identified application as set forth in §1.491, before the mailing date of a first Office Action on the merits of the above-identified application, or before the mailing date of a first office action after the filing of request for continued examination under §1.114, no additional fee is required.

- ☐ In accordance with §1.129(a), this Information Disclosure Statement is being filed in connection with ☐ the first or ☐ second After Final Submission, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(c), this Information Disclosure Statement is being filed after the period set forth in §1.97(b) above but before the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311, or before an action that otherwise closes prosecution in the application, therefore:
- ☐ Certification in Accordance with §1.97(e) is attached; or
- ☐ The fee of \$180.00 as set forth in §1.17(p) is attached.
- ☐ In accordance with §1.97(d), this Information Disclosure Statement is being filed after the mailing date of either a Final Action under §1.113 or a Notice of Allowance under §1.311 but before, or simultaneously with, the payment of the Issue Fee, therefore included are: Certification in Accordance with §1.97(e); and the submission fee of \$180.00 as set forth in §1.17(p).
- ☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.
- ☒ Copies of references listed on the attached Form PTO-1449 are enclosed herewith EXCEPT THAT:
- ☐ In view of the voluminous nature of references [list as appropriate], and the likelihood that these references are available to the Examiner, copies are not enclosed herewith.

- ☐ In accordance with §1.98(d), copies of the following references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the U.S. Patent and Trademark Office in patent application(s) for which a claim for priority under 35 U.S.C. §120 have been made in the instant application:
- ☒ Copies of references **AA-AG** listed on the attached Form PTO-1449 were previously cited by or submitted to the Patent and Trademark Office in prior application Serial No. **09/526,290**, filed **March 15, 2000**.
- ☐ If any of the foregoing publications are not available to the Examiner, Applicant will endeavor to supply copies at the Examiner's request.

Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.

This form is submitted in duplicate.

There are no listed references which are not in the English language.

Date: *Sept 14, 2001*

*Susan C. Murphy*  
**Susan C. Murphy**  
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Sheet 1 of 2

<b>Form PTO-1449 Modified</b>  List of Patent and Publications Cited by Applicant (Use several sheets if necessary)  U.S. Department of Commerce Patent and Trademark Office	Docket No. <b>MSFT-0275</b> <b>(164216.1)</b>	Serial No. <b>09/892,318</b>
	Applicant <b>R. Abburi, et al.</b>	
	Filing Date <b>June 27, 2001</b>	Group <b>2131</b>

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**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

AA	Hauser, R.C., "does licensing require new access control techniques?" August, 1993, 9 pages
AB	Kaplan, M.A., "IBM Cyrptolopes, Super-Distribution and Digital Rights Management," December 1996, 7 pages
AC	Kohl, U., et al., "Safeguarding digital library contents and users; protecting documents rather than channels," <i>D-Lib Magazine</i> , September 1997, 9 pages
AD	Sibert, O., et al., "Securing the content, not the wire, for information commerce," July 1995, 1-11
AE	Stefik, M., "Shifting the possible: How trusted systems and digital property rights challenge us to rethink digital publishing," <i>Technical Perspective</i> , 1997, 137-159
AF	"Rights Management in the Digital Age: trading in bits, not atoms," Spring, 1997, 4, 3 pages
AG	Weber, R. "Digital rights management technology," October, 1995, 1-49
AH	Scanlon, M., "Secure web-based licensing," <i>C/C++ Users J.</i> , <a href="http://www.cuj.com">www.cuj.com</a> , November 2000, 42-50
AI	Uda, R., et al., "Software-based music delivery platform," <i>Facility of Science &amp; Technology</i> , August 2000, 41(8), 2237-2245 (English Abstract)
AJ	Vollmer, A., "Security Ics are targeting consumer applications," <i>Electronic Design</i> , November 6, 2000, 105-153

**EXAMINER****DATE CONSIDERED**

